

UNITED STATES DISTRICT COURT  
EASTERN DISTRICT OF NEW YORK

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UNITED STATES OF AMERICA

- against -

VERDICT SHEET

MARK NORDLICHT,  
DAVID LEVY,  
JOSEPH SANFILIPPO,

16 CR 640 (BMC)

Defendants.

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**AS TO COUNT ONE: Conspiracy to Commit Securities Fraud and Investment Adviser  
Fraud – The Investment Scheme**

1. On the charge of conspiracy to commit securities fraud and investment adviser fraud in connection with the Investment Scheme in COUNT ONE, how do you find the defendant **MARK NORDLICHT**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

If your verdict is guilty, which of the following do you unanimously find to be an object of the conspiracy in Count One?

**SECURITIES FRAUD** \_\_\_\_\_  
**INVESTMENT ADVISER FRAUD** \_\_\_\_\_  
**BOTH** \_\_\_\_\_

2. On the charge of conspiracy to commit securities fraud and investment adviser fraud in connection with the Investment Scheme in COUNT ONE, how do you find the defendant **DAVID LEVY**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

If your verdict is guilty, which of the following do you unanimously find to be an object of the conspiracy in Count One?

**SECURITIES FRAUD** \_\_\_\_\_  
**INVESTMENT ADVISER FRAUD** \_\_\_\_\_  
**BOTH** \_\_\_\_\_

3. On the charge of conspiracy to commit securities fraud and investment adviser fraud in connection with the Investment Scheme in COUNT ONE, how do you find the defendant **JOSEPH SANFILIPPO**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

If your verdict is guilty, which of the following do you unanimously find to be an object of the conspiracy in Count One?

**SECURITIES FRAUD** \_\_\_\_\_  
**INVESTMENT ADVISER FRAUD** \_\_\_\_\_  
**BOTH** \_\_\_\_\_

**AS TO COUNT TWO: Conspiracy to Commit Wire Fraud – The Investment Scheme**

4. On the charge of conspiracy to commit wire fraud in connection with the Investment Scheme charged in COUNT TWO, how do you find the defendant **MARK NORDLICHT**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

5. On the charge of conspiracy to commit wire fraud in connection with the Investment Scheme charged in COUNT TWO, how do you find the defendant **DAVID LEVY**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

6. On the charge of conspiracy to commit wire fraud in connection with the Investment Scheme charged in COUNT TWO, how do you find the defendant **JOSEPH SANFILIPPO**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

**AS TO COUNT THREE: Securities Fraud – PPVA**

7. On the charge of securities fraud in connection with PPVA charged in COUNT THREE, how do you find the defendant **MARK NORDLICHT**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

8. On the charge of securities fraud in connection with PPVA charged in COUNT THREE, how do you find the defendant **DAVID LEVY**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

9. On the charge of securities fraud in connection with PPVA charged in COUNT THREE, how do you find the defendant **JOSEPH SANFILIPPO**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

**AS TO COUNT FOUR: Securities Fraud – PPNE**

10. On the charge of securities fraud in connection with PPNE in COUNT FOUR, how do you find the defendant **MARK NORDLICHT**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

11. On the charge of securities fraud in connection with PPNE in COUNT FOUR, how do you find the defendant **DAVID LEVY**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

12. On the charge of securities fraud in connection with PPNE in COUNT FOUR, how do you find the defendant **JOSEPH SANFILIPPO**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

**AS TO COUNT FIVE: Investment Adviser Fraud – The Investment Scheme**

13. On the charge of investment adviser fraud in connection with the Investment Scheme in COUNT FIVE, how do you find the defendant **MARK NORDLICHT**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

14. On the charge of investment adviser fraud in connection with the Investment Scheme in COUNT FIVE, how do you find the defendant **DAVID LEVY**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

15. On the charge of investment adviser fraud in connection with the Investment Scheme in COUNT FIVE, how do you find the defendant **JOSEPH SANFILIPPO**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

**AS TO COUNT SIX: Conspiracy to Commit Securities Fraud – Black Elk Bond Scheme**

16. On the charge of conspiracy to commit securities fraud in connection with the Black Elk Bond Scheme in COUNT SIX, how do you find the defendant **MARK NORDLICHT**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

17. On the charge of conspiracy to commit securities fraud in connection with the Black Elk Bond Scheme in COUNT SIX, how do you find the defendant **DAVID LEVY**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

**AS TO COUNT SEVEN: Conspiracy to Commit Wire Fraud – Black Elk Bond Scheme**

18. On the charge of conspiracy to commit wire fraud in connection with the Black Elk Bond Scheme in COUNT SEVEN, how do you find the defendant **MARK NORDLICHT**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

19. On the charge of conspiracy to commit wire fraud in connection with the Black Elk Bond Scheme in COUNT SEVEN, how do you find the defendant **DAVID LEVY**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

**AS TO COUNT EIGHT: Securities Fraud – Black Elk Bond Scheme**

20. On the charge of securities fraud in connection with the Black Elk Bond Scheme in COUNT EIGHT, how do you find the defendant **MARK NORDLICHT**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

21. On the charge of securities fraud in connection with the Black Elk Bond Scheme in COUNT EIGHT, how do you find the defendant **DAVID LEVY**?

**GUILTY** \_\_\_\_\_ **NOT GUILTY** \_\_\_\_\_

DATED: Brooklyn, NY

\_\_\_\_\_, 2019

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Signature of Foreperson